THE FOREIGN DISCLOSURE

AND TECHNICAL

INFORMATION SYSTEM

(FORDTIS)

USER MANUAL

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OFFICE OF THE DEPUTY UNDER SECRETARY OF DEFENSE
FOR POLICY

THE UNDER SECRETARY OF DEFENSE

WASHINGTON, D. C. 20301-2000

POLICY

5230.18-M

FOREWORD

This Manual is issued under the authority of DoD Instruction 5230.18, "The DoD Foreign Disclosure and Technical Information System (FORDTIS)," November 6, 1984. It guides DoD Components in the effective use of FORDTIS.

DoD 5230.18-M, "Foreign Disclosure Automated Data System (FORDAD) Manual," February 1974, is hereby canceled.

This Manual applies to the Office of the Secretary of Defense (OSD), the Military Departments, the Organization of the Joint Chiefs of Staff (OJCS), the Unified and Specified Commands, the Defense Agencies, and activities administratively supported by OSD (hereafter referred to collectively as "DoD Components").
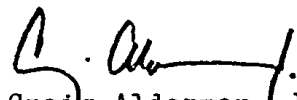
This Manual is effective immediately and is mandatory for use by all DoD Components. Heads of DoD Components may issue supplementary instructions only when necessary to provide for unique requirements within their respective Components.

Send recommended changes to the Manual through channels to:

> Office of the Secretary of Defense
> Directorate for Counterintelligence and
>   Security Policy
> FORDTIS Office
> Washington, D.C. 20301-2200

DoD Components and other Uniformed Services may obtain copies of this Manual through their own publications channels. Other Federal agencies and the public may obtain copies from:

> U.S. Department of Commerce
> National Technical Information Service
> 5285 Port Royal Road
> Springfield, Virginia 22161

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REFERENCES

(a) FORDTIS On-Line User's Guide

(b) Export Administration Regulations (EAR)

(c) International Traffic in Arms Regulations (ITAR)

(d) DoD Directive C-5230.23, "Intelligence Disclosure Policy (U)," November 18, 1983

(e) DoD Directive 5230.11, "Disclosure of Classified Military Information to Foreign Governments and International Organizations," December 31, 1984

(f) DoD Directive 2040.2, "International Transfers of Technology, Goods, Services, and Munitions," January 17, 1984

(g) DoD Instruction 5230.18, "The DoD Foreign Disclosure and Technical Information System (FORDTIS)," November 6, 1984

(h) DoD Instruction 5230.17, "Procedures for Disclosure of Classified Military Information to Foreign Governments and International Organizations," February 17, 1985

(i) DoD 5200.1-R, "Information Security Program Regulation," August 1982, authorized by DoD Directive 5200.1, June 7, 1982

(j) DoD Directive 5200.28, "Security Requirements for Automatic Data Processing (ADP) Systems," December 18, 1972

(k) DoD Instruction 5230.22, "Control of Dissemination of Intelligence Information," April 1, 1982

AL1. GLOSSARY OF ACRONYMS AND ABBREVIATIONS
COMMONLY USED IN FORDTIS

AL1.1.1. ADP   Automated Data Processing
AL1.1.2. CCL   Commodity Control List
AL1.1.3. CMI   Classified Military Information
AL1.1.4. COCOM   Coordinating Committee (NATO countries, less
                        Iceland and Spain, plus Japan)
AL1.1.5. DBA   Database Administrator
AL1.1.6. DoC   Department of Commerce
AL1.1.7. DoE   Department of Energy
AL1.1.8. DoS   Department of State
AL1.1.9. EAR   Export Administration Regulations
AL1.1.10. FMS   Foreign Military Sales
AL1.1.11. FORDTIS   Foreign Disclosure and Technical Information
                        System
AL1.1.12. ID   Identification
AL1.1.13. ITAR   International Traffic in Arms Regulations
AL1.1.14. NDP   National Disclosure Policy
AL1.1.15. NDPC   National Military Information Disclosure
                        Policy Committee
AL1.1.16. NDPE   National Disclosure Policy Exceptions
AL1.1.17. OCR   Optical Character Recognition
AL1.1.18. OEA   Office of Export Administration, Department
                        of Commerce
AL1.1.19. >   Greater Than

C1. CHAPTER 1

GENERAL INFORMATION

C1.1. PURPOSE

This Manual assigns responsibilities and prescribes procedures for use of FORDTIS by DoD Components. Supplemental procedures for users of FORDTIS interactive terminals are contained in the FORDTIS On-Line User's Guide (reference (a)).

C1.2. DEFINITIONS

C1.2.1. Database Administrator (DBA). A person assigned responsibility by a DoD Component for the accuracy and completeness of the input into one or more FORDTIS Historical or Reference databases.

C1.2.2. Open or Active Case. A case that has been entered in a FORDTIS Tracking and Assignment database and is under consideration by the Department of Defense.

C1.2.3. Classified Military Information (CMI). U.S. defense information or material that requires protection against unauthorized disclosure in the interests of national security and that is limited to three security classifications: TOP SECRET, SECRET, and CONFIDENTIAL.

C1.2.4. CMI Case. A request for CMI received from a foreign government or international organization, or proposed for release by a DoD Component, which is an active case in the FORDTIS Tracking and Assignment database or that has been entered in the CMI historical database.

C1.2.5. Commodity Control List (CCL) Case. An application made by a U.S. entity registered with the Department of Commerce (DoC) to export goods and services on the CCL in accordance with the Export Administration Regulations (EAR) (reference (b)), which is an active case in the FORDTIS Tracking and Assignment database or that has been entered in the CCL historical database.

C1.2.6. Coordinating Committee (COCOM) Case. A proposal made by a member nation to the COCOM Headquarters in Paris to export goods or services on the COCOM Lists to a communist country, which is an active case in the FORDTIS Tracking and Assignment database or which has been entered in the COCOM historical database. The COCOM Lists include the International List (IL), the International Munitions List

(IML), and the Atomic Energy List (AEL). For U.S. cases, COCOM cases are first staffed and approved as CCL cases in order to develop and forward a U.S. national position.

C1.2.7. <u>Accreditation Case</u>. A request received from a foreign government to accredit one of its nationals to one or more defense establishments, which is an active case in the FORDTIS Tracking and Assignment or has been entered in the "accreditations" historical database.

C1.2.8. <u>Closed Case</u>. A case that has been decided and is no longer under active consideration by the Department of Defense.

C1.2.9. <u>Denial</u>. The disapproval of a formal request for a visit, accreditation, or release of CMI, whether the request is of U.S. or foreign origin.

C1.2.10. <u>Disclosure</u>. The transfer of CMI through approved channels to an authorized representative of a foreign government or international organization.

C1.2.11. <u>Historical Case</u>. A case that has been closed and entered in an historical database of FORDTIS by a database administrator.

C1.2.12. <u>Munitions Case</u>. An application made by an entity registered with the Department of State (DoS) to export arms, ammunition, or implements of war on the U.S. Munitions List, including technical data related thereto, in accordance with the International Traffic in Arms Regulations (ITAR) (reference (c)), which is an active case in the FORDTIS Tracking and Assignment database or that has been entered in the "munitions" historical database.

C1.2.13. <u>National Disclosure Policy Exceptions (NDPE)</u>. An exception to the NDP approved by the Secretary or Deputy Secretary of Defense, or by the National Disclosure Policy Committee (NDPC).

C1.2.14. <u>NDPE Case</u>. A request for an exception to the NDP that is an active case in the FORDTIS Tracking and Assignment database or that has been entered in the NDPE historical database.

C1.2.15. <u>Significant Disclosure or Denial</u>. A disclosure or denial is significant if the following apply:

C1.2.15.1. TOP SECRET CMI is involved.

C1.2.15.2. The case is the first of its kind or tends to establish precedent in terms of classification level, subject matter, countries involved, or involves CMI that would improve substantially a country's military capability.

C1.2.15.3. The action derives from an exception to the NDP.

C1.2.15.4. The action, in the judgment of the reporting official, represents a noteworthy disclosure decision.

C1.2.15.5. The action involves the release of intelligence that is reportable under DoD Directive C-5230.23 (reference (d)).

C1.2.16. Visit Case. A request received from a foreign government or international organization to visit a defense establishment or a U.S. contractor on defense-related business, which is an active case in the FORDTIS Tracking and Assignment database or that has been entered in the "visits" historical database.

C2. CHAPTER 2

FORDTIS DESCRIPTION

C2.1. PURPOSE

FORDTIS is an automated system that assists DoD decision makers and analysts in reviewing, coordinating, reaching decisions, and maintaining records on proposals to release CMI and technology to other nations and international organizations.   Proposals under consideration may take the form of requests for CMI, exceptions to the NDP, visits, accreditations, or export license applications for U.S. Munitions List, CCL, or COCOM list items.

C2.2. SYSTEM SPONSOR

FORDTIS is managed by the Deputy Director for FORDTIS, Directorate for Counterintelligence and Security Policy (CSP), Office of the Deputy Under Secretary of Defense for Policy (ODUSD(P)).   The U.S. Air Force, 1st Information Systems Group, is the executive agent for FORDTIS automated data processing (ADP) operations, maintenance, and communications.

C2.3. SYSTEM CONFIGURATION

The FORDTIS central site is located in the Pentagon and consists of central processors, a database management system, storage devices, communications, and communications security equipment.   FORDTIS online users are at various sites in the Office of the Secretary of Defense, the Defense Agencies, the Military Departments, and at selected non-DoD Government Departments.   A secure communications network links the online users to the central site.   FORDTIS users who do not have access to an online terminal interact with the system as described in Chapter 3.

C2.4. SYSTEM DATABASE STRUCTURE

   C2.4.1. General. FORDTIS databases are in three functional categories.   The Tracking and Assignment databases are for management of active cases.   The Historical databases contain records of cases that have been processed by the Department of Defense.   The Reference databases contain a variety of information that analysts frequently need for reference during case processing.

C2.4.2. <u>Tracking and Assignment Databases</u>. These databases contain records of all cases currently being processed on FORDTIS.   The databases are used when creating an active case, when making staffing assignments, when recording the positions and remarks of the staffing activities, and when consolidating and recording final case decisions. These databases also have features that allow checking of case processing status and case assignments at the management and analyst levels. Access to DoD Component's position and remarks information in these databases is controlled. Reports are generated from these databases that provide statistical data and status information.   Reports are described in Chapter 3.

C2.4.3. <u>Historical Databases</u>. These databases are divided into the major functional case types and contain records of cases that have been processed by the Department of Defense. Reports generated from these databases consist of one or more case reports extracted from the database as determined by user requirements. Reports are described in Chapter 3.

C2.4.3.1. <u>CMI Database</u>. This database contains records of action taken on proposals to disclose or deny CMI to foreign governments and international organizations. DBAs have been appointed in each of the Military Departments, the Defense Intelligence Agency (DIA), and the Office of the Secretary of Defense. (See Appendix 3.)

C2.4.3.2. <u>NDPE Database</u>. This database contains records of action concerning approvals and denials of requests for exception to the NDP. The DBA is the Deputy Director for International Security and Foreign Disclosure, Directorate for CSP, ODUSD(P).

C2.4.3.3. <u>Visits Database</u>. This database contains records of actions taken to approve or deny requests by foreign governments and international organizations to visit DoD activities and defense contractors. Routine data entry for this database shall begin after August 1985. DBAs have been appointed in each of the Military Departments and DIA.

C2.4.3.4. <u>Accreditations Database</u>. This database contains records of action taken to approve or deny requests by foreign governments and international organizations to accredit their nationals to DoD activities. DBAs have been appointed in each of the Military Departments and DIA.

C2.4.3.5. <u>Munitions Database</u>. This database contains records of action taken by the Department of Defense to recommend approval, denial, or modification of

license applications to export items or technical data on the U.S. Munitions List.   The DBA for this database is the Director for Munitions Control, Office of the Deputy Assistant Secretary of Defense (International Economics Trade and Security Policy) (ODASD(IETSP)).

C2.4.3.6. <u>CCL Database</u>. This database contains records of action taken by the Department of Defense to recommend approval, denial, or modification of license applications to export items on the CCL.   The DBA is the Director for Strategic Trade Policy (STP), ODASD(IETSP).

C2.4.3.7. <u>COCOM Database</u>. This database contains records of action taken by the Department of Defense to recommend approval, denial, or modification of proposals submitted by the COCOM member nations to export items on the COCOM lists to Communist countries.   The DBA is the Director for STP, ODASD(IETSP).

C2.4.4. <u>Reference Databases</u>. These databases contain information frequently used by analysts when reviewing active cases.   These databases change based on analyst requirements and availability of data. Examples include the U.S. Munitions List, the CCL, and the NDP, Annex A. These databases are primarily for online users.

C3. CHAPTER 3

FORDTIS REPORTING - INPUTS AND OUTPUTS

C3.1. PURPOSE

This Chapter describes the procedures and responsibilities for reporting information to FORDTIS (inputs), the procedures for obtaining information from FORDTIS (outputs), and the output report formats. FORDTIS supports two related DoD programs, Foreign Disclosure and Technology Transfer.   You should refer to DoD Directive 5230.11 (reference (e)) and DoD Directive 2040.2 (reference (f)) for policies and responsibilities for the operation of these programs.

C3.2. REPORTING INFORMATION TO FORDTIS (DATA INPUT)

C3.2.1. General. Information is reported to FORDTIS by creation of new cases on a FORDTIS interactive terminal and by submission of an optical character recognition (OCR) form (DD Form 1822, "Report of Disclosure or Denial of U.S. Classified Military Information"), a method for reporting CMI cases in addition to data input at a terminal.   To ensure that the required reporting is accomplished and to maintain the quality of information in the databases, one or more DBAs have been appointed for each case type in DoD Instruction 5230.18 (reference (g)).   This section gives an overview of the reporting requirements for the CMI, NDPE, munitions, CCL, and COCOM databases.

C3.2.2. CMI Databases. CMI cases are created in two ways: by direct data input at a FORDTIS terminal or by input to an OCR device using DD Form 1822. Use of the DD Form 1822 is covered in Chapter 4.   Any activity having a disclosure authority for CMI may create a CMI case using either of the methods available. Once the case is created, it must be reviewed by a designated CMI DBA before it is placed in the historical database.

C3.2.3. NDPE Database. All NDPE cases are created interactively on FORDTIS by the ODUSD(P)/CSP, based on requests received from NDPC members for exceptions to the NDP and those referred directly to the Secretary or Deputy Secretary of Defense for decision.   The final case is based on the Record of Action issued by the NDPC. ODUSD(P)/CSP, as the NDPE DBA, controls all NDPE cases placed in the historical database.

C3.2.4. Munitions Database. All munitions cases are created interactively on FORDTIS by the Munitions Control Directorate, ODASD(IETSP), based on export license applications received for comment from the DoS. The Munitions Control Directorate develops the final case based on staffing comments and, as the Munitions DBA, controls all munitions cases placed in the historical database.

C3.2.5. CCL Databases. All CCL cases are created interactively on FORDTIS by the STP Directorate, ODASD(IETSP), based on export license applications received for comment from the DoC. The STP Directorate develops the final case based on staffing comments, and, as the CCL DBA, controls CCL cases placed in the historical database.

C3.2.6. COCOM Database. All COCOM cases are created interactively on FORDTIS by the STP Directorate, ODASD(IETSP), based on information received from the DoS. The STP Directorate develops the final case based on staffing comments, and, as the COCOM DBA, controls all COCOM cases placed in the historical database.

C3.3. FORDTIS REPORMS (DATA OUTPUT)

Information is available from FORDTIS either at an interactive terminal or by printed FORDTIS case reports. This section describes FORDTIS case reports and the procedures for requesting these reports.

C3.3.1. Output Report Formats. FORDTIS case reports have been developed for each of the functional databases based on the information needs most frequently associated with the database. The report formats are shown in Appendix 4, figures AP4.F1. (CMI), AP4.F2. (NDPE), AP4.F3. (munitions), AP4.F4. (CCL), and AP4.F5. (COCOM). Accompanying each report format is an explanation of the individual data elements in the report. FORDTIS has considerable flexibility in extracting specific reports from the databases. Paragraph C3.3.3., below, gives procedures and examples for defining information requirements when requesting reports.

C3.3.2. Requests for Reports. Activities having a requirement for FORDTIS data are encouraged to request FORDTIS case reports. You may call the FORDTIS office to discuss your requirements or forward requirements directly to the FORDTIS office. Reports that meet your selection criteria may be produced on a periodic basis, for example, once a month or once a quarter, or on a one-time basis depending on need. Send your requests for reports to:

Office of the Secretary of Defense
ODUSD(P)/CSP
ATTN: FORDTIS Office
Washington, DC 20301-2200

or telephone:
Autovon 227-3384
Commercial (202) 697-3384

C3.3.3. <u>Defining Report Selection</u>

C3.3.3.1. You may request reports using one or more of the data elements on the Reports Formats and Data Element Descriptions (Appendix 4) as the search criteria. Although any data element may be used for searching, those that consist of free text usually will not return satisfactory results, unless you know that there are specific words in the text that can be used as text search criteria. It is helpful to state a requirement in the form of a question such as, "What classified information has been disclosed to Italy on the BASIC TOW Missile System since March 15, 1982?" Then, refer to the keyword list and the report formats for the data elements that can best satisfy the requirement. The question given as an example would have the following search criteria:

DATABASE:	CMI
REQUESTING COUNTRY:	Italy
KEYWORD:	BGM-71A
DATE OUT:	>(greater than) 14/03/82
DoD POSITION:	Approve and approve with conditions

This type of search would result in a one-time data output consisting of all case reports that met the search criteria.   Another example is, "What munitions cases for F-16s were coordinated by Air Force during the first quarter of 1985?"   This would have the criteria:

    DATABASE: MUN
    AGENCY: DF
    KEYWORD: F-16
    DATE OUT: 01/01/85 THROUGH 31/03/85

This search would result in a data output consisting of case reports of all munitions cases for F-16s, which were released from January through March 1985, that show Air Force as a coordinating agency.   This could be a quarterly report.   Once established, this report would be prepared and forwarded at the end of each reporting period until terminated by the requester.   If you have trouble defining your requirement satisfactorily, call the FORDTIS office for assistance.

      C3.3.3.2. There are two data elements that are not in the case reports that you can include as criteria in your report request.   They are "KEYWORD" and "AGENCY POSITION."

      C3.3.3.2.1. Keyword.   FORDTIS keywords are contained in the FORDTIS keyword list that may be obtained from the FORDTIS office.   Each case contains from 1 to 25 keywords that characterize the case according to the keyword hierarchy. Including keywords in the search criteria allows for the return of all cases containing one or more of the keywords in your list and those that are consistent with other search criteria.   Keywords are arranged in an hierarchy from general to specific; for example, (a) AIRCRAFT, (b) FIGHTER AIRCRAFT, (c) F-4, and (d) F-4E.   When using a key-word to search, FORDTIS will identify all cases having the specified keyword and all cases having a lower tier keyword under the keyword selected.   For this reason, the keywords selected should be at the lowest tier of the hierarchy that meet your requirement.   Also, there is no need to include keywords lower in the hierarchy than your selected keywords, since they will be included automatically.

      C3.3.3.2.2. Agency and Agency Position.   This series of data elements contains the Agency name and the position of all DoD activities that were included in the coordination process on a case.   The Agency codes are listed in Appendix 1, Table 4, and the position codes are in Appendix 1, Table 6.   Searches against these data elements can include criteria, such as "All cases that Army objected to," or "All cases that Navy approved."

      C3.3.3.3. Other Selection Criteria

C3.3.3.3.1. <u>Ranges of Data Element Values</u>. Searches against numeric data elements can be expressed as a range of values. The numeric data elements include, for example, DATE, VALUE, and QUANTITY. Search criteria against these data elements can be expressed as "equal to," "greater than," "less than," or as a range of "value 1" through "value 2." This capability most often is used with dates, for example "All cases with KEYWORD 'F-4' and with a DATEOUT between 01/01/84 and 22/03/84," or "with a DATEOUT after (greater than) 22/03/84."

C3.3.3.3.2. <u>Open/Closed Case Flag</u>. Open cases are those that are currently in staffing in the Department of Defense. Closed cases are those whose staffing is complete and a decision has been made on the case. You may specify as one of the search criteria that only open or only closed cases be included in the output or that both types be included. If you do not specify these criteria in your request, then only closed cases shall be included. You should note that case reports for open cases often will contain only basic case identification data and case description. You should not take any related action, such as approval of a visit request or release of a document, based on an open case. Only closed cases contain the final DoD case decision and related guidance.

C3.3.3.3.3. <u>Statistical and Status Reports</u>. Several statistical and status reports are available from the FORDTIS office. These reports are developed to meet specific management requirements to show workload, general productivity, and for suspense management. Reports of this type may be useful to you either in their current format or tailored to your specific needs. If you have a requirement for statistical reports, you should contact the FORDTIS office and discuss your requirement to determine if an existing report is satisfactory or if a new report needs to be developed.

C4. CHAPTER 4

DD FORM 1822, "REPORT OF DISCLOSURE OR DENIAL OF U.S. CLASSIFIED MILITARY INFORMATION" (RCS DD-POL(AR)1661)

C4.1. PURPOSE

The DD Form 1822 is an OCR-readable form used to report information to create a FORDTIS case concerning decisions to disclose or deny U.S. CMI to foreign governments and international organizations. The form is for use by activities having disclosure authority, but not having access to an interactive FORDTIS terminal for data entry.

C4.2. DATA ENTRY REQUIREMENTS AND EXCLUSIONS

A DD Form 1822 must be completed for each disclosure action that involves the following:

C4.2.1. Classified information, documentation, or materiel that is disclosed pursuant to foreign military sales (FMS), or loans or grants of military materiel.

C4.2.2. CMI disclosed or denied pursuant to a request from a foreign government or international organization.

C4.2.3. CMI disclosed pursuant to a U.S. request and significant denials of U.S. requests.

C4.2.4. Significant disclosures and denials (see definitions).

C4.2.5. Exclusions:

C4.2.5.1. For classified military training, individual courses need not be itemized when they are related closely in content. Individual manuals, films, or instructional devices need not be itemized. Class notes need not be reported if the training was reported.

C4.2.5.2. For previously disclosed documents, changes that are disclosed need not be reported unless the change constitutes a major content revision and provided the original disclosure was entered in FORDTIS.

C4.2.5.3. For military exercises, individual disclosures such as exercise message traffic need not be reported, provided the exercise was reported.

C4.3. <u>PROCEDURES</u>

C4.3.1. Policies, procedures, and standards for the disclosure of CMI to foreign governments and international organizations are contained in DoD Directive 5230.11 (reference (e)), DoD Instruction 5230.17 (reference (h)), and in implementing regulations issued by the DoD Components.

C4.3.2. Activities preparing DD Form 1822 shall forward the form to the FORDTIS CMI DBA who has disclosure jurisdiction for their DoD Component. Activities that have disclosure authority granted under reference (e), but do not have a FORDTIS interactive terminal or a DoD Component-level DBA shall forward their DD Form 1822s to the CMI DBA, ODUSD(P). A list of disclosure authorities, and the CMI DBA for each, is at Appendix 3.

C4.3.3. Instructions for completing DD Form 1822 are at Appendix 2.

C4.3.4. Supplies of DD Form 1822 may be obtained from the FORDTIS office. The form is not available through regular supply channels. Send requests to:

Office of the Secretary of Defense
ODUSD(P)/CSP
ATTN: FORDTIS Office/Forms
Washington, DC 20301-2200

C5. CHAPTER 5

SECURITY

C5.1. GENERAL

FORDTIS security is administered in accordance with DoD 5200.1-R (reference (i)) and DoD Directive 5200.28 (reference (j)). The highest classification of information in FORDTIS is SECRET.

C5.2. DATA ENTRY RESTRICTIONS

TOP SECRET information may not be entered in FORDTIS. Intelligence information bearing any of the following caveats described in DoD Instruction 5230.22 (reference (k)) may not be entered in FORDTIS:

C5.2.1. PROPIN (Proprietary Information).

C5.2.2. ORCON (Originator Controlled).

C5.2.3. NOCONTRACT (Not Releasable to Contractors or Contractor Representative).

C5.3. REPORTS

C5.3.1. Case reports from FORDTIS are classified individually based on the classification assigned by the originator of the automated case record. A FORDTIS output may consist of many case reports. The output, which may be bound or unbound continuous feed paper, is classified and handled based on the highest classification of the individual case reports.   Since a single page may contain more than one report, care must be taken when separating pages to review all classification markings on the page in addition to those at the top and bottom of the page.

C5.3.2. FORDTIS reports, classified or unclassified, may not be released to non-DoD personnel without permission of the FORDTIS office. If release outside the Department of Defense is needed, to include release to defense contractors, that requirement shall be included in the request for FORDTIS reports.   If you wish to release reports that you have on hand, send a request to the FORDTIS office, identifying each case report by case identification (ID) number, the proposed recipient, and reason

for the release. The FORDTIS will coordinate all requests for release with the DoD Component that originated the FORDTIS record.

C5.4. SECURITY VIOLATIONS AND UNAUTHORIZED RELEASES

Security violations or other unauthorized releases shall be investigated in accordance with local regulations. When an investigation substantiates a security violation or unauthorized release, the results of the investigation shall be furnished to the FORDTIS office.

AP1. APPENDIX 1

TABLES

Table AP1.T1.   TABLE 1, DD FORM 1822, "COUNTRY CODES"

CODE	COUNTRY
AC	ANTIGUA AND BARBUDA
AF	AFGHANISTAN
AG	ALGERIA
AAL	ALBANIA
AN	ANDORRA
AO	ANGOLA
AQ	AMERICAN SOMOA
AR	ARGENTINA
AS	AUSTRALIA
AT	ASHMORE AND CARTIER ISLANDS
AU	AUSTRIA
AV	ANGUILLA
AY	ANTARTICA
BA	BAHRAIN
BB	BARBADOS
BC	BOTSWANA
BD	BERMUDA
BE	BELGIUM
BF	BAHAMAS, THE
BG	BANGLADESH
BH	BELIZE
BL	BOLIVIA
BM	BURMA
BN	BENIN (formerly BM)
BP	SOLOMON ISLANDS
BQ	NAVASSA ISLAND
BR	BRAZIL
BS	BASSAS DA INDIA
BT	BHUTAN
BU	BULGARIA

AP1.T1.   TABLE 1, "DD FORM 1822 COUNTRY CODES," continued

CODE	COUNTRY
BV	BOUVET ISLAND
BX	BRUNEI
BY	BURUNDI
BZ	GERMANY, BERLIN
CA	CANADA
CB	CAMBODIA (formerly KAMPUCHEA)
CD	CHAD
CE	SRI LANKA
CF	CONGO
CG	ZAIRE
CH	CHINA
CI	CHILE
CJ	CAYMAN ISLANDS
CK	COCOS (KEELING) ISLANDS
CM	CAMEROON
CN	COMOROS
CO	COLUMBIA
CQ	NORTHERN MARIANA ISLANDS
CR	CORAL SEA ISLANDS
CS	COSTA RICA
CT	CENTRAL AFRACAN REPUBLIC
CU	CUBA
CV	CAPE VERDE (formerly CAPE VERDE, REPUBLIC OF)
CW	COOK ISLANDS
CY	CYPRUS
CZ	CZECHOSLOVAKIA
DA	DENMARK
DJ	DJOBOUTI
DO	DOMINICA
DQ	JARVIS ISLANDS
DR	DOMINICAN REPUBLIC
EC	ECUADOR
EG	EGYPT
EI	IRELAND
EK	EQUATORIAL GUINEA
EQ	CANTON AND ENDERBURY ISLAND(obsolete - see KR)
ES	EL SALVADOR
ET	ETHIOPIA

AP1.T1.   TABLE 1, "DD FORM 1822 COUNTRY CODES," continued

CODE	COUNTRY
EU	EUROPA ISLALND
FA	FALKLAND ISLANDS (ISLAS MALVINAS)
FG	FRENCH GUIANA
FI	FINLAND
FJ	FIJI
FO	FAROE ISLANDS
FP	FRENCH POLYNESIA
FQ	BAKER ISLAND (formerly KQ)
FR	FRANCE
FS	FRENCH SOUTHERN AND ANTARTIC LANDS
FT	FRENCH TERITORY OF THE AFARS AND ISSAS (obsolete - see DJ)
GA	GAMBIA. THE
GB	GABON
GC	GERMAN DEMOCRATIC REPUBLIC
GE	GERMANY, FEDERAL REPUBLIC OF
GH	GHANA
GI	GIBRALTAR
GJ	GRENADA
GK	GUERNSEY
GL	GREENLAND
GO	GLORIOSO ISLANDS
GP	GUADELOUPE
GQ	GUAM
GR	GREECE
GS	GILBERT ISLANDS (obsolete - SEE KR)
GT	GUATEMALA
GV	GUINEA
GY	GUYANA
GZ	GAZA STRIP
HA	HAITI
HK	HONG KONG
HM	HEARD ISLAND AND MCDONALD ISLANDS
HO	HONDURAS
HQ	HOWLAND ISLAND
HU	HUNGARY
IC	ICELAND
ID	INDONESIA
IM	MAN, ISLE OF

 AP1.T1.   TABLE 1, "DD FORM 1822 COUNTRY CODES," continued

CODE	COUNTRY
IN	INDIA
IO	BRITISH INDIAN OCEAN TERRITORY
IP	CLIPPERTON ISLAND
IQ	UNITED STATES MISCELLANEOUS PACIFIC ISLANDS (obsolete)
IR	IRAN
IS	ISRAEL
IT	ITALY
IV	IVORY COAST
IY	IRAQ-SAUDI ARABIA NEUTRAL ZONE
IZ	IRAQ
JA	JAPAN
JE	JERSEY
JM	JAMACIA
JN	JAN MAYEN
JO	JORDAN
JQ	JOHSTON ATOLL
JU	JUAN DE NOVA ISLAND
KE	KENYA
KN	KOREA, DEMOCRATIC PEOPLE REPUBLIC OF
KQ	KINGMAN REEF (formerly FQ)
KR	KIRIBATI
KS	KOREA, REPUBLIC OF
KT	CHRISTMAS ISLALND
KU	KUWAIT
LA	LAOS
LE	LEBANON
LI	LIBERIA
LQ	PALMYRA ATOLL
LS	LIECHTENSTEIN
LT	LESOTHO
LU	LUXEMBOURG
LY	LIBYA
MA	MADAGASCAR
MB	MARTINIQUE
MC	MACAN
MF	MAYOTTE
MG	MONGOLIA
MH	MONTSERRAT

AP1.T1.   TABLE 1, "DD FORM 1822 COUNTRY CODES," continued

CODE	COUNTRY
MI	MALAWI
ML	MALI
MN	MONACO
MO	MOROCCO
MP	MAURITIUS
MQ	MIDWAY ISLAND
MR	MAURITANIA
MT	MALTA
MU	OMAN
MV	MALDIVES
MX	MEXICO
MY	MALAYSIA
MZ	MOZAMBIQUE
NA	NETHERLANDS ANTILLES
NC	NEW CALEDONIA
NE	NIUE
NF	NORFOLK ISLAND
NG	NIGER
NH	VANUATA
NI	NIGERIA
NL	NETHERLANDS
NO	NORWAY
MP	NEPAL
NQ	TRUST TERRITORY OF THE PACIFIC ISLANDS
NR	NAURU
NS	SURINAME
NU	NICARAGUA
NZ	NEW ZEALAND
PA	PARAGUAY
PC	PITCAIRN ISLAND
PE	PERU
PF	PARACEL ISLANDS
PG	SPRATLY ISLANDS
PK	PAKISTAN
PL	POLAND
PM	PANAMA (formerly PR)
PO	PORTUGAL
PP	PAPUA NEW GUINEA

AP1.T1.   TABLE 1, "DD FORM 1822 COUNTRY CODES," continued

CODE	COUNTRY
PQ	CANAL ZONE (obsolete - see PM)
PU	GUINEA-BISSAU
QA	QATAR
RE	REUNION
RH	SOUTHERN RHODESIA (obsolete - see ZI)
RO	ROMAINIA
RP	PHILIPPINES
RQ	PUERTO RICO
RW	RWANDA
SA	SAUDI ARABIA
SB	ST. PIERRE AND MIQUELON
SC	ST. CHRISTOPHER AND NEVIS (formerly ST. CHRISTOPHER-NEVIS)
SE	SEYCHELLES
SF	SOUTH AFRICA
SG	SENEGAL
SH	ST. HELENA
SL	SIERRA LEONE
SM	SAN MARINO
SN	SINGAPORE
SO	SOMALIA
SP	SPAIN
ST	ST. LUCIA
SU	SUDAN
SV	SVALBARD
SW	SWEDEN
SY	SYRIA
SZ	SWITZERLAND
TC	UNITED ARAB EMIRATES
TD	TRINIDAD AND TOBAGO
TE	TROMELIN ISLAND
TH	THAILAND
TK	TURKS AND CAICOS ISLANDS
TL	TOKULAU
TN	TONGA
TO	TOGO
TP	SAO TOME AND PRINCIPE
TS	TUNISIA
TU	TURKEY

APPENDIX 1

AP1.T1. TABLE 1, "DD FORM 1822 COUNTRY CODES," continued

CODE	COUNTRY
TV	TUVALU
TW	TAIWAN (formerly CHINA-TAIWAN)
TZ	TANZANIA, UNITED REPUBLIC OF
UG	UGANDA
UK	UNITED KINGDOM
UR	UNION OF SOVIET SOCICALIST REPUBLICS
US	UNITED STATES
UV	BURKINA (formerly UPPER VOLTA)
UY	URUGUAY
VC	ST. VINVENT AND THE GRENADINES
VE	VENEZUELA
VI	BRITISH VIRGIN ISLANDS
VM	VIETNAM
VQ	VIRGIN ISLALNDS
VT	VATICAN CITY
WA	NAMBIA
WE	WEST BANK
WF	WALLIS AND FUTUNA
WI	WESTERN SAHARA
WQ	WAKE ISLAND
WS	WESTERN SOMOA
WZ	SWAZILAND
YE	YEMEN (SANAA)
YO	YUGOSLAVIA
YQ	RYUKYU ISLAND (obsolete - see JA)
YS	YEMEN (ADEN)
ZA	ZAMBIA
ZI	ZIMBABWE
36	IADB (Inter American Defense Board)
37	NATO
38	NORAD
39	SACLANT
42	SEATO
43	SHAPE
44	WARSAW PACT
45	NATO Security System
XX	Unspecified

Table AP1.T2.   <u>TABLE 2, DD FORM 1822, "NDP CATEGORY CODES"</u>

1. Organization, Training, and Employment of Military Forces
2. Military Materiel and Munitions
3. Applied Research and Development Information and Material
4. Production Information
5. Combined Military Operations, Planning, and Readiness
6. U.S. Order of Battle
7. North American Defense
8. Military Intelligence

Table AP1.T3.   <u>TABLE 3, DD FORM 1822, "CMI LINE ITEM TYPES"</u>

C   Computer Media
X   Combined Exercise
D   Documentary CMI (includes microfilm, microfiche, etc.)
E   Equipment
F   Films (includes 16mm film, video media, slides, etc.)
I   Intelligence Exploitation
J   Intelligence Report
K   Intelligence Report Evaluation
B   Miscellaneous Oral and Visual
P   Policy
R   Tour
T   Training

Table AP1.T4. <u>TABLE 4, DD FORM 1822, "AGENCY/ORGANIZATION COMPONENT CODES"</u>

CY	AFSC
DF	AIR FORCE
DA	ARMY
CE	ARMY CECOM
CP	CINCPAC
DC	COMMERCE
CB	AMC
DE	DARPA
DK	DCA
AI	DCI
DD	DEPARTMENT OF DEFENSE
DL	DIA
MA	DMA/CC
DH	DNA
AM	DSAA
DY	ENERGY
XX	MISCELLANEOUS DoD
AA	NASA

Table AP1.T4.   <u>TABLE 4, DD FORM 1822, "AGENCY/ORGANIZATION COMPONENT CODES,"</u>
<u>continued</u>

DN	NAVY
DG	NSA
OL	OASD/A&L
OA	OASD/ISA
OI	OASD/ISP
OU	ODASD/ISP(EUR/NATO)
OE	OATSD(AE)
ON	ODASD(I)
OT	ODASD(T)
OP	ODUSD(P)
DJ	OJCS
J3	OJCS/J3
JS	OJCS/ODJS
YY	OTHER
OR	OUSDRE
AQ	OUSDRE/AM
C3	OASD/C3I
IP	OUSDRE/IP&T
RA	OUSDRE/RAT
RC	OUSDRE/RATC
TW	OUSDRE/TWP
HP	PACAF
DS	STATE
DM	USMC

Table AP1.T5.   <u>TABLE 5, DD FORM 1822, "CROSS-REFERENCE TYPE"</u>

NDPE	National Disclosure Policy Exception Case
CMI	Classified Military Information Case
MUN	Munitions Case
COC	Coordinating Committee Case
CCL	Commodity Control List Case

AP1.T6.   <u>TABLE 6, DD FORM 1822, "RECOMMENDATION CODES"</u>

A	Approved/Concur
B	Qualified Approval
C	Objection
D	Defer
E	CCL Jurisdiction
F	Munitions Jurisdiction
G	Returned Without Action
H	Withdrawn
I	NDP Case Approval
K	Closed without Response
N	No Interest
P	Expired/Canceled
S	Split - See Remarks
X	See Remarks

AP2. APPENDIX 2

INSTRUCTIONS FOR COMPLETION OF DD FORM 1822, "REPORT OF DISCLOSURE OR DENIAL OF U.S. CLASSIFIED MILITARY INFORMATION"

AP2.1. GENERAL

Review the following general instructions and sample form, Figure AP2.F1., before completing DD Form 1822:

AP2.1.1. Typewriter Settings

AP2.1.1.1. IMPORTANT - Use 10 pitch only.

AP2.1.1.2. Use OCR font A. OCR font B may be used as a substitute.

```
OCR FONT A, 10 pitch, ABCDEFGHIJK, 1234567890
OCR FONT B, 10 pitch, ABCDEFGHIJK, 1234567890
```

AP2.1.1.3. Set the paper guide to "0."

AP2.1.1.4. Set the left margin to 6, or so that typing begins just inside the vertical blue line.

AP2.1.1.5. Set TABS to 16, 31, 45, 56, 71, and 80. This may have to be adjusted by adding or subtracting 1 to each TAB when you align the form.

AP2.1.1.6. Type in CAPITAL LETTERS.

AP2.1.2. Handling and Aligning the Form

AP2.1.2.1. Do not make any extraneous marks on the front or reverse of the form.

AP2.1.2.2. Do not fold or staple the form. Discard soiled or dog-eared blanks.

AP2.1.2.3. Enter in the typewriter to the line marked, "USE TO ALIGN." Using the preset TABS, type a character at each TAB setting. The character should appear under the right hand cross of the "T," like this.

```
┌─┬─┐
 │A
```

Adjust the form and TABS, as necessary. Once this adjustment is complete, MAKE NO FURTHER ADJUSTMENTS TO THE FORM EVER THOUGH THE ALIGNMENT MAY APPEAR TO BE OFF. Once you are experienced in use of the form, this step may be omitted.

AP2.1.2.4. Mail the form in a 9- by 12-inch, or larger, envelope. Do not fold the form for mailing.

AP2.1.3. <u>Typing the Form</u>

AP2.1.3.1. Type in CAPITAL LETTERS.

AP2.1.3.2. Each numbered data element begins either at the left margin or at one of the preset TABS. Always begin typing at the TAB setting without entering a space even if the entry does not fit in the box exactly. This is necessary since the OCR reader determines which data element it is reading by its position on the page.

AP2.1.3.3. Do not use standard word breaks at the right margin in the text fields (Data Element Nos. 18., 21., 22.g., and 22.h.). Type as close to the right margin as possible without going over the vertical blue line. Do a carriage return and continue as if you were typing one continuous line.

AP2.1.3.4. Do not use any alternate characters such as a small "L" in place of a "1" (one), or a capital letter "O" in place of a "0" (zero).

AP2.1.3.5. Be sure your entries are not longer than the space provided on the form. See the section below on use of continuation forms.

AP2.1.4. <u>Making Corrections</u>

AP2.1.4.1. If at all possible, use a carbon film ribbon on your typewriter.

AP2.1.4.2. Use a "lift off" correction tape (automatic correction typewriters) or "lift off" correction sheets.

AP2.1.4.3. Do not use "white out," "stick-on" correction tape, or correction tapes/sheets that deposit a white chalk over the incorrect character.

AP2.1.4.4. If you cannot use the "lift off" correction tape and carbon ribbon, then backspace over the incorrect letter and overstrike a "#," "&," or "$." The OCR reader will detect this as an error and a correction shall be made when the information is being processed into FORDTIS.

AP2.1.4.5. We have had good experience completing the DD Form 1822 on word processing equipment. This is the best way to get error free copy. Please call, the FORDTIS office if you wish to discuss this method (AUTOVON 227-1655 or commercial (202) 697-1655).

AP2.1.5. Security Markings

AP2.1.5.1. If the DD Form 1822 is classified, stamp the security classification, top and bottom, on the lines marked, "CLASSIFICATION." Be sure to enter the same classification code in Data Element No. 2.

AP2.1.5.2. Enter the "Classified by" information on the line in the lower right corner of the form. The declassification instructions are entered on the form in Data Element No. 3.

AP2.1.6. Use of Continuation Forms.

AP2.1.6.1. A continuation form may be necessary for the following data elements:

5.	REQUESTING COUNTRIES	(Up to 50 entries)
17.	SUBJECT COUNTRIES	(Up to 50 entries)
19.	CROSS-REFERENCE	(Up to 20 entries)
20.	KEYWORDS	(Up to 25 entries)
21.	REMARKS	(Up to 60 lines)
22.	LINE ITEMS	(Up to 25 items)

AP2.1.6.2. Use a blank DD Form 1822. Type the page amber in the block in the upper right corner marked "Page No." starting with "2."

AP2.1.6.3. Proceed to the data element or elements that are to be continued and type the additional information. It is not necessary to enter any other data.

AP2.1.6.4. Use as many continuation forms as required, up to the maximum length of the data element being continued.

AP2.1.6.5. Please keep continuation forms together with the correct page 1.

AP2.1.6.6. In some instances, it may be easier to divide one case into two or more cases than to use continuation sheets. Make a note in REMARKS if you do this.

Figure AP2.F1. Sample DD Form 1822

A SLIGHT MISALIGNMENT
IS NOT A PROBLEM

NOTE THE
WORD BREAKS

DO NOT REALIGN THE PAPER
ONCE YOU BEGIN TYPING

AP2.2. DATA ELEMENTS

Enter information for the data elements in accordance with the instructions provided for each data element. Tables for data element codes are in Appendix 1. Instructions for typing the DD Form 1822 and examples are in section AP2.1., above. Following the instructions for each data element are two codes in parentheses. The first indicates the maximum number of characters that may be entered for that data element, for example,

(58). The second indicates whether an entry is mandatory (M) or optional (O).

Data Element Number	Data Element Name	Instructions
1.	Short Title	Enter a one-line summary that identifies the case. (58) (M)
2.	Classification	Enter the classification of the DD Form 1822 as one of the following codes: U - UNCLASSIFIED C - CONFIDENTIAL S - SECRET (1) (M)
3.	Declassification Instructions	Enter the declassification instructions in accordance with DoD 5200.1-R (reference (i)). If no entry is made and the DD Form 1822 is classified in Data Element No.2, an automatic entry of "OADR," "Originating Agency's Determination Required," shall be made when the case is entered in FORDTIS. (30) (O)
4.	Date Out	Enter the date the case was closed in the format day, month, and year (DD/MM/YY). (6) (M)
5.	Requesting Country	Enter up to 50 codes that identify the countries to which the disclosure is granted or denied. See Appendix 1, Table 1, for the country codes. If the number of entries exceeds 17, see section AP2.1., above, on the use of continuation sheets. Entry of one country code is mandatory. (2) (M)
6.	Action	Enter the code for the decision on the case in accordance with Appendix 1, Table 6. If the case consists of multiple items some of which are approved and some denied, then use code "S" "Split - See Remarks," or divide the case in two, with approved/qualified approval on one and denial on one. (1) (M)
7.	Denial Reasons	Do not make an entry for this data element. If the case is a denial, enter the specific reason in "Remarks" (Data Element No. 21.) or in "Item Remarks" (Data Element No. 22.h.). If the case is a denial, in whole or in part, a reason for the denial is required.
8.	NDP Codes	Enter one or more NDP information category code that apply to the case. See Appendix 1, Table 2. At least one entry is required. (1) (M)
9.	Log No.	Enter a local log number, if one is used. (10) (O)
10.	Significant	Enter a "Y" (yes) if the disclosure or denial is significant, otherwise enter an "N" (no). See the definitions in Chapter 1. (1) (M)

Data Element Number	Data Element Name	Instructions
11.	Repetitive	Enter a "Y" (yes) if the case involves a recurring disclosure, otherwise enter an "N" (no). (1) (O)
12.	Agency	Enter the code for the Agency processing the case. See Appendix 1, Table 4. (2) (M)
13.	Office	Enter the office or activity within the Agency that is processing the case. This may be an office symbol, command abbreviation, or other suitable identification. (25) (M)
14.	Decomp	Enter a "Y" if the information disclosed or denied is intelligence information that has been decompartmented, otherwise enter an "N". (1) (M)
15.	Flags	These four fields may be defined by the activity preparing the DD Form 1822. Any letter or number can be a flag. They can be used for example, to identify disclosures in relation to specific disclosure programs or in relation to specific disclosure programs or in relation to specific weapons programs. It is advisable to document a set of standard flags if this data element is used. (1) (O)
16.	Local Use	This text field can be defined by the activity preparing the DD Form 1822. (20) (O)
17.	Subject Country	Enter up to 50 country codes to indicate the country(ies) the information being disclosed is about. See Appendix 1, Table 1. If more than 17 entries are required, see section AP2.1., above, on the use of continuation sheets. (2) (O)
18.	Case Description	Enter a description of the case. (5 lines) (M)
19.	Cross-Reference	Enter up to 20 cross-references. Refer to the example, Appendix 2, Figure AP2.F1. If more than three cross-references are required, refer to section AP2.1., above, on the use of continuation sheets.
19.a.	Type	Enter the case type of the cross-reference. See Appendix 1, Table 5. (5) (O)
19.b.	Cross-Reference	Enter the FORDTIS case identification number of the cross-reference. (15) (O)
20.	Keywords	Enter up to 25 keywords from the FORDTIS keyword list. See the example, Appendix 2, Figure AP2.F1., for proper format. Use the most specific keywords that apply, for example, use "F-4E" instead of "FIGHTER AIRCRAFT." If more that four keywords are required, see section AP2.1., above, on the use of continuation sheets. One keyword is required. (45) (M)

Data Element Number	Data Element Name	Instructions
21.	Remarks	Enter up to 60 lines of text. If the case decision is a denial, in whole or in part, then a reason for the denial must be entered. If the remarks entry is more than seven lines, refer to section AP2.1., above, on the use of continuation sheets. (60 lines) (M, if case is a denial)
22.	Line Items	A line item entry is made for each separate document or item covered by the case. Up to 25 line items may be entered. If more that four line items are entered, refer to section AP2.1., above, on the use of continuation sheets. One line-tem entry is required.
22.a.	Item Number	Enter a number for each line item beginning with 1. (1) (M)
22.b.	Item Types	Enter up to three line-item types. See Appendix 1, Table 3. One item-type code is required for each line item. (1) (M)
22c.	Item Classification	Enter the classification of the document or item being disclosed or denied. Use one of the following codes: U - UNCLASSIFIED C - CONFIDENTIAL S - SECRET T - TOP SECRET (1) (M) NOTE: DO NOT enter TOP SECRET information on the DD Form 1822.
22d.	Item Action	Enter the decision code for the item See Appendix 1, Table 6. (1) (M)
22.e.	Item Denial Reasons	Do not make an entry for this data element. If disclosure of the item is denied, in whole or in part, then a specific reason must be entered in Item Remarks (Data Element No. 22.h.).
22.f.	Document or Equipment Number	Enter the document number or unique identification number of the item approved or denied for disclosure. An entry is required either for this data element or the next data element. (25) (M)
22.g.	Document or Equipment Name	Enter the document title or the name of the item approved or denied for disclosure. An entry is required either for this data element or for the previous data element. (3 lines) (M)
22.h.	Item Remarks	Enter information that will be useful for an understanding of the decision or nature or the item. If the decision is a denial, in whole or in part, then a reason for the denial must be entered. (3 lines) (M, if case is a denial)

AP3. <u>APPENDIX 3</u>

<u>DISCLOSURE AUTHORITIES AND DBA FOR CMI DATABASE</u>

<u>Disclosure Authority</u>	<u>DBA</u>
Under Secretary of Defense for Policy	Office of the Secretary of Defense ODUSD(P)/CSP Washington, DC 20301-2200
Under Secretary of Defense for Research & Engineering	Office of the Secretary of Defense ODUSDRE(IP&T)/TT Washington, DC 20301
Chairman, Joint Chiefs of Staff	Office of the Joint Chief of Staff J5 Washington, DC 20301
Secretary of the Army	HQDA/DAMI-CIT Washington, DC 20310
Secretary of the Navy	CNO/OP-622 Washington, DC 20350-2000
Secretary of the Air Force	HQUSAF/CVAII Washington, DC 20330-2006
Director, Defense Intelligence Agency	Director, Defense Intelligence Agency ATTN: DI-4B Washington, DC 20301-6111

These DoD Components have disclosure authority granted by DoD Directive 5230.11 (reference (e)). Activities having a delegated disclosure authority granted by one of these DoD Components under reference (e), but which do not have access to a FORDTIS online terminal, shall prepare a DD Form 1822 for each disclosure case and forward the form to the address given for their DoD Component DBA. Activities not having a delegated disclosure authority may not release CMI to foreign governments and international organizations except as authorized on a case-by-case basis by the disclosure authority that has jurisdiction over the information or materiel to be disclosed.

AP4. APPENDIX 4

REPORTS FORMATS AND DATA ELEMENT DESCRIPTIONS

AP4.F1. CMI Case Report

UNCLASSIFIED

CLASSIFIED MILITARY INFORMATION CASE REPORT

CASE ID: _____ SHORT TITLE: _____

DATE IN: _____ DATE OUT: _____ LOG IN: _____ LOG OUT: _____ LOCAL USE: _____

NDP INFO CATEGORY: _ _ _ _ _ SIGNIFICANT DISCLOSURE: ___ REPETITIVE: ___ RELEASE CONFIRMATION: ___ FLAGS: A _ B _ C _ D_

ACTION AGENCY: _____ OFFICE: _____ DECOMPARTMENTED: ___

REQUESTING COUNTRIES

_____   _____   _____

CASE DESCRIPTION

_____
_____

CASE DECISION: _____   CROSS-REFERENCE
                                              CASE TYPE   CASE ID
                                              ____   _____

CASE REMARKS

_____
_____

LINE ITEMS

ITEM NO.: ___ ITEM CLASSIFICATION: _____ ITEM ID NO.: _____ ITEM TYPE CODE: _ _ _

ITEM NAME

_____

ITEM DECISION: _____ AGENCY: _____ OFFICE: _____ RELEASE CONFIRMATION: (3)

ITEM REMARKS

_____
_____

UNCLASSIFIED

DATA ELEMENT DESCRIPTION CMI CASE REPORTS

1. <u>Case ID</u> - A case ID number that is assigned automatically by FORDTIS when the case is entered in the system.

2. <u>Short Title</u> - A brief case description.

3. <u>Date In</u> - The date the case is entered in FORDTIS.

4. <u>Date Out</u> - The date that action on the case is completed.

5. <u>Log in</u> - An optional field for a local log number.

6. <u>Log Out</u> - An optional field to record outgoing correspondence.

7. <u>Local Use</u> - A user-defined data element.

8. <u>NDP Info Category</u> - The NDP Information Category Code. See Appendix 1, Table 2.

9. <u>Significant Disclosure</u> - This data element shall contain a "Y" of an "N." See Chapter 1, section C1.2., for the definition of a significant disclosure.

10. <u>Repetitive</u> - This data element shall contain a "Y" or an "N" to indicate if the disclosure is one-time or repetitious.

11. <u>Release Confirmation</u> - This data element shall contain a ""Y" or and "N" to indicate if the disclosure has been made.

12. <u>Flags</u> - These are user-defined flags. The case originator must be contacted for exact definitions.

13. <u>Action Agency</u> - The DoD Component having primary responsibility for case processing.

14. <u>Office</u> - The activity or command within the Agency that handles the case.

15. <u>Decompartmented</u> - This data element shall contain a "Y" or an "N" to indicate if the information being disclosed was derived from sensitive intelligence sources or methods.

16. <u>Requesting Countries</u> - The countries to which the disclosure is made. The action may have originated at the request of the country or on a U.S. initiative.

17. <u>Case Description</u> - An overall description of the case.

18. <u>Case Decision</u> - The final decision on the case. See Appendix 1, Table 6.

19. <u>Cross-Reference</u> - This is a two-part data element consisting of "CASE TYPE" and "CASE ID." The CASE TYPE refers to a FORDTIS database and the CASE ID to a specific case in the database that is related in some way to the case record. This data element is unrestricted and for that reason there may be reference to cases that are not in a FORDTIS database.

20. <u>Case Remarks</u> - This data element contains information that the case processor considerers important to an understanding of the case or the case decision.

21. <u>Item No</u>. - A sequence number for each case line item.

22. <u>Item Classification</u> - The security classification of the document or items disclosed or denied.

23. <u>Item ID No</u>. - A unique document or item identification number.

24. <u>Item Type Code</u> - See Appendix 1, Table 3.

25. <u>Item Name</u> - The document title or item name for each line item.

26. <u>Item Decision</u> - The decision with regard to the line item. In cases with one line item, this shall be the same as CASE DECISION.

27. <u>Agency</u> - The Agency that has primary responsibility for the line item.

28. <u>Office</u> - The office or activity within the Agency that has primary responsibility for the line item.

29. <u>Release Confirmation</u> - A flag that will indicate whether or not a disclosure has been completed.

30. <u>Item Remarks</u> - Any information that is important in understanding the case or the case decision.

AP4.F2.   NDPE Case Report

UNCLASSIFIED

NATIONAL DISCLOSURE POLICY EXCEPTION CASE REPORT

CASE ID: _____   SHORT TITLE: _____

SPONSORING AGENCY: _____   DATE IN: _____   DATE OUT: _____   EXCEPTION TYPE: _____

RECORD OF ACTION: _____   EXPIRATION DATE: _____   NDP INFO CATEGORY: _ _ _ _ _   EXCEPTION LEVELS: _ _ _ _ _

COUNTRY: _____   _____   _____

CASE DESCRIPTION

_____

_____

EXCEPTION STATUS: _____

CASE REMARKS

_____

_____

AMENDMENTS

AMENDMENT NO.:   AMENDMENT DATE: _____   AMENDMENT STATUS: _____

SPONSORING AGENCY: _____

AMENDMENT REMARKS

_____

_____

UNCLASSIFIED

DATA ELEMENT DESCRIPTION NDPE CASE REPORTS

1. <u>Case ID</u> - The case ID number is the NDPC case number assigned by the sponsor. This is not the Record of Action (RA) number on the case (Data Element No. 7.).

2. <u>Short Title</u> - Abrief Description of the case.

3. <u>Sponsoring Agency</u> - The member of the NDPC that sponsored the case before the committee.

4. <u>Date In</u> - The date the NDPC received the case for action.

5. <u>Date Out</u> - The date the NDPC rendered its decision.

6. <u>Exception Type</u> - The NDPC exception type.

7. <u>Record of Action</u> - The control number assigned to a completed exception case.

8. <u>Expiration Date</u> - The date the exception is no longer valid.

9. <u>NDP Info Category</u> - The information category. See Appendix 1, Table 2.

10. <u>Exception Levels</u> - The level of disclosure approved by the exception for each NDP Info Category.

11. <u>Country</u> - The countries for which the disclosure exceptions are approved or denied.

12. <u>Case Description</u> - Adescription of the case.

13. Exception Status - The current status of the case.

14. Case Remarks - This data element contains information useful in understanding the case or the decision on the case.

15. Amendments - An amendment to the NDPE case approved by the NDPC.

16. <u>Amendment No</u>. - The sequential number of any amendments to the original exception.

17. <u>Amendment Status</u> - The current status of the amendment.

18. <u>Sponsoring Agency</u> - The member of the NDPC that sponsored the amendment before the Committee.

19. <u>Sponsoring Agency</u> - The member of the NDPC that sponsored the amendment before the Committee.

20. <u>Amendment Remarks</u> -This data element contains information that explains how the NDPE case was amended.

AP4.F3. Munitions Case Report

UNCLASSIFIED

MUNITIONS CASE REPORT

CASE ID: _____   SHORT TITLE: _____

DATE IN: _____   DATE OUT: _____   QUANTITY: _____   VALUE: _____   CLASSIFICATION OF MUNITION: _____

APPLICANT: _____   CASE TYPE: _____

CASE DESCRIPTION

_____
_____

DESTINATION COUNTRIES

_____   _____   _____

_____   _____   _____

DOD POSITION: _____   U.S. GOVERNMENT DECISION: _____

CROSS-REFERENCE
CASE TYPE   CASE ID
_____   _____
_____   _____

CASE REMARKS

_____
_____

UNCLASSIFIED

DATA ELEMENT DESCRIPTION MUNITIONS CASE REPORTS

1. Case ID - The case ID number Assigned by the DoS.
2. Short Title - A brief Description of the case.
3. Date In - The date the case was received in the Department of Defense for processing.
4. Date Out - The date action on the case was completed in the Department of Defense.
5. Quantity - The quantity of the commodity proposed for export.
6. Value - The dollar value of the case commodities.
7. Classification of Munition - The security classification, if any, or the commodity for export.
8. Case Description - A description of the commodity to be exported.
9. Destination Countries - The names of the countries to receive the export.
10. DoD Position - The position of the Department of Defense to approve with conditions, or deny the export license.
11. U.S. Government Decision - The final decision on the license rendered by the DoS.
12. Cross-References - This data element consists of two parts, the CASE TYPE and the CASE ID. The CASE TYPE refers to a FORDTIS database and the CASE ID refers to a specific case in the database that is related to the case record.
13. Case Remarks - This data element contains information deemed important by the case processor for understanding the case of the case decision.

AP4.F4.   CCL Case Report

COMMODITY CONTROL LIST CASE REPORT

CASE ID: _____   SHORT TITLE: _____

DATE IN: _____   DATE OUT: _____   CCL NO.: _____   VALUE: _____   TECH DATA: ___   RE-EXPORT: ___

APPLICANT: _____

CASE DESCRIPTION

(MAX = 5[lines] x 78)
_____
_____

DESTINATION COUNTRIES

_____   _____   _____
_____   _____   _____

END USER: _____   CITY: _____

END USE

_____
_____

DOD POSITION: _____   U.S. GOVERNMENT DECISION _____

CROSS-REFERENCE
CASE TYPE   CASE ID
____   _____
____   _____

CASE REMARKS

(MAX = 60[lines] x 78)
_____
_____

DATA ELEMENT DESCRIPTION CCL CASE REPORTS

1. <u>Case ID</u> - The case ID number assigned by the DoC.

2. <u>Short Title</u> - A brief description of the case.

3. <u>Date In</u> - The date the case was received in the Department of Defense for Processing.

4. <u>Date Out</u> - The date action on the case was completed in the Department of Defense.

5. <u>CCL No</u>. - The commodity classification number from the CCL.

6. <u>Value</u> - The dollar value of the commodities proposed for export assigned by the exporter.

7. <u>Tech Data</u> - This data element shall contain a "Y" or an "N" to indicate if the export consists only technical data.

8. <u>Re-export</u> - This data element shall contain a "Y" or and "N" to indicate if the commodity shall be re-exported to a third country.

9. <u>Applicant</u> - The name of the company that applied for the export license.

10. <u>Case Description</u> - A description of the proposed export.

11. <u>Destination Countries</u> - The countries receiving the exported commodities.

12. <u>End User</u> - The use to be made of the exported commodity as reported by the exporter.

13. <u>City</u> - The city where the end user is located.

14. <u>End Use</u> - The use to be made of the exported commodity as reported by the exporter.

15. <u>DoD Position</u> - The position of the Department of Defense to approve, approve with conditions, or deny the export license.

16. <u>U.S. Government Position</u> - The final decision on the license rendered by the DoC.

17. <u>Cross-Reference</u> - This data element consists of two parts, CASE TYPE and CASE ID. The CASE TYPE refers to a FORDTIS database and the CASE ID refers to a specific case in the database that is related to the case report.

18. <u>Case Remarks</u> - This data element contains information entered by the case processor that is important to understanding the case of the case decision.

AP4.F5. COCOM Case Report

UNCLASSIFIED

COCOM CASE REPORT

CASE ID: _____   SHORT TITLE: _____

DATE IN: _____   DATE OUT: _____   COCOM IN: _____   COCOM OUT: _____   COCOM LIST: ____ ____ ____

APPLICANT COUNTRY: _____   VALUE $: _____   RE-EXPORT: ____   TECH DATA: ____

CASE DESCRIPTION

_____
_____

DESTINATION COUNTRIES

_____   _____   _____

END USER: _____   CITY: _____

END USE

_____
_____

DOD POSITION: _____   U.S. GOVERNMENT POSITION: _____

COCOM DECISION: _____

| CROSS-REFERENCE | |
CASE TYPE	CASE ID
____	_____
____	_____

REMARKS

_____
_____

UNCLASSIFIED

DATA ELEMENT DESCRIPTION COCOM CASE REPORTS

1. Case ID - The case ID number assigned by COCOM.

2. Short Title - A brief description of the case.

3. Date In - The date action on the case was received in the Department of Defense for processing.

4. Date Out - The date action on the case was completed in the Department of Defense.

5. COCOM IN - The date the case was received in COCOM.

6. COCOM OUT - The date the case was completed and and a decision rendered in COCOM.

7. COCOM LIST - The COCOM list number that identifies the commodity category.

8. Applicant Country - The country submitting the case to COCOM for consideration.

9. Value $ - The dollar value of the commodities proposed for export as provided by the exporter.

10. Re-Export - This data element contains a "Y" or and "N" to indicate if the commodity will be re-exported to a third country.

11. Tech Data - This data element contains a "Y" or and "N" to indicate if the export consists only of technical data.

12. Case Description - The description of the proposed export.

13. Destination Countries - The countries receiving the exported commodities.

14. End User - The name of the activity in the receiving country that will use the exported commodity as stated by the exported.

15. City - The city where the end user is located.

16. End Use - The use to be made of the commodity as stated by the exporter.

17. DoD Position - The position of the Department of Defense to approve, approve with conditions, or deny the export license.

18. U.S. Government Position - The U.S. national position returned to COCOM.

19. COCOM Decision - The final decision rendered on the case by COCOM.

20. Cross-Reference - This data element consists of two parts, CASE TYPE and CASE ID. The CASE TYPE refers to a FORDTIS database and the CASE ID refers to a specific case in the database that is related to the case report.

21. Case Remarks - This data element contains information entered by the case processor that is important to understanding the case of the case decision.